



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Applicant: Maritzen ) Art Unit: unk.  
Serial No.: 10/015,724 ) Examiner: unk.  
Filed: December 6, 2001 ) 50P4506.01  
For: System and Method for Conducting Financial ) June 4, 2004  
Transactions... ) 750 B Street, Suite 3120  
 ) San Diego, CA 92101  
)

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**TRANSMITTAL LETTER FOR RESPONSE TO NOTICE OF ABANDONMENT;**  
**RESPONSE TO NOTICE TO FILE MISSING PARTS; PETITION TO INVOKE RULE 47**

Commissioner for Patents  
Alexandria, VA 22313

Dear Sir:

In response to the Notice of Abandonment dated January 6, 2004, and in response to the Notice to File Missing Parts dated January 23, 2002, enclosed herewith are the following:

1. A copy of the Notice of Abandonment;
2. A Petition for Revival of an Application for Patent Abandoned Unintentionally (2 pgs.)
3. A Petition to Revive (2 pgs.)
4. A Petition to Invoke Rule 47 (3 pgs.)
5. A copy of a letter from Michael Maritzen (1 pg.)
6. A copy of Michael Maritzen's employment agreement with Sony Corporation (1 pg.)
7. Co-Inventor's Declaration (2 pgs.)
8. A copy of the Notice to File Missing Parts
9. An original signed Declaration (5 pgs.)
10. An assignment recordation cover sheet
11. An original assignment (4 pgs.)
12. An acknowledgment postcard

The Commissioner is authorized to charge the following fees to the credit card indicated on the Credit Card Authorization form enclosed, and is additionally authorized to credit overpayments or charge fees in addition to those listed below, should they be required under 37 CFR 1.16 or 1.17.

1. \$1330 - Petition to Revive fee
2. \$1610 for Missing Parts surcharge plus 4 months extension of time
3. \$130 for Non-signing inventor fee
4. \$40 for Recordation of Assignment fee

CASE NO.: 50P4506.01  
Serial No.: 10/015,724  
June 4, 2004  
Page 2

PATENT  
Filed: December 6, 2001

Respectfully submitted,



John L. Rogitz  
Registration No. 33,549  
Attorney of Record  
750 B Street, Suite 3120  
San Diego, CA 92101  
Telephone: (619) 338-8075

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this document, together with any papers described as attached or enclosed, is being deposited with the United States Postal Service, "Express Mail Post Office to Addressee" service, Express Mailing label no. EV546242055 US under 37 CFR 1.10, addressed to Mail Stop - Petition, Commissioner for Patents, P.O. BOX 1450, Alexandria, VA 22313 on JUNE 4, 2004.

Date of Deposit: JUNE 4, 2004

Person mailing paper/fee: Jeanne Gahagan

Signature Jeanne Gahagan



06-07-04

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**UNITED STATES PATENT AND TRADEMARK OFFICE**

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/015,724	12/06/2001	Michael L. Maritzen	50P4506.01

Intellectual Property Department  
Sony Electronics Inc.  
16450 West Bernardo Drive, MZ 7190  
San Diego, CA 92127-1898



**CONFIRMATION NO. 8876**  
**FORMALITIES LETTER**



\*OC000000007346095\*

Date Mailed: 01/23/2002

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION****FILED UNDER 37 CFR 1.53(b)*****Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FLING OR. 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/015,724	12/06/2001	Michael L. Maritzcn	50P4505.01

Intellectual Property Department  
Sony Electronics Inc.  
16450 West Bernardo Drive, MZ 7190  
San Diego, CA 92127-1898



**CONFIRMATION NO. 8876**  
**ABANDONMENT/TERMINATION**  
**LETTER**



\*OC000000011628180\*

Date Mailed: 01/06/2004

**NOTICE OF ABANDONMENT UNDER 37 CFR 1.53 (f) OR (g)**

The above-identified application is abandoned for failure to timely or properly reply to the Notice to File Missing Parts (Notice) mailed on 01/23/2002.

- No reply was received.

A petition to the Commissioner under 37 CFR 1.137 may be filed requesting that the application be revived.

Under 37 CFR 1.137(a), a petition requesting the application be revived on the grounds of UNAVOIDABLE DELAY must be filed promptly after the applicant becomes aware of the abandonment and such petition must be accompanied by: (1) an adequate showing of the cause of unavoidable delay; (2) the required reply to the above-identified Notice; (3) the petition fee set forth in 37 CFR 1.17(l); and (4) a terminal disclaimer if required by 37 CFR 1.137(d).

Under 37 CFR 1.137(b), a petition requesting the application be revived on the grounds of UNINTENTIONAL DELAY must be filed promptly after applicant becomes aware of the abandonment and such petition must be accompanied by: (1) a statement that the entire delay was unintentional; (2) the required reply to the above-identified Notice; (3) the petition fee set forth in 37 CFR 1.17(m); and (4) a terminal disclaimer if required by 37 CFR 1.137(d).

Any questions concerning petitions to revive should be directed to the "Office of Petitions" at (703) 305-9282. Petitions should be mailed to: Mail Stop Petitions, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

*A copy of this notice MUST be returned with the reply.*

*[Signature]*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/10/2004 AKELLEY 00000018 10015724  
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